



10269-20CON  
(HSX/001 CON5)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.  
Application No. : 10/655,409 Confirmation No. : 6575  
Filed : September 4, 2003  
For : COMPUTER-IMPLEMENTED SECURITIES  
TRADING SYSTEM WITH A VIRTUAL  
SPECIALIST FUNCTION  
Group Art Unit : 3623  
Examiner : Not Yet Assigned

New York, New York 10020  
July 20, 2004

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants hereby make the following document of record in  
the above-identified patent application:

U.S. Patent Document

6,263,321 July 17, 2001 Daughtery, III, Vergil L.

Pursuant to 37 C.F.R. § 1.98(d), a copy of the  
document is not provided, because it was originally cited on  
June 29, 2004, and is of record, in parent U.S. Patent

Application No. 09/465,607, filed on December 17, 1999, from which priority is claimed.

Applicants believe that no fee is due at this time because this Statement is being submitted before the mailing of a First Office Action on the merits. See 37 C.F.R. § 1.97(b)(3). However, if any fee is due in connection with this Information Disclosure Statement, the Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this Information Disclosure Statement is enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

I hereby certify that this  
Correspondence is being  
deposited with the U.S.  
Postal Service as First  
Class Mail in an envelope  
Addressed to:  
Commissioner for Patents  
P.O. Box 1450  
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*July 20, 2004*  
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
10269-20CON  
(HSX/001CON5)APPLN. NO.  
10/655,409SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANTS  
Timothy Maxwell Keiser,  
et al.CONF. NO.  
6575FILING DATE  
September 4, 2003GROUP ART UNIT  
3623

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,263,321	07/17/2001	Daughtery, III, Vergil L.	705	36	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

/Clement Graham/

DATE CONSIDERED

01/21/2009

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./